



Department  
of Health &  
Social Care

# **Adult Social Care Outcomes Framework: methodologies for measures derived from CLD**

Methodology document

# Contents

Adult Social Care Outcomes Framework: methodologies for measures derived from CLD .....	1
Contents .....	2
Introduction .....	3
Common data processing steps .....	3
ASCOF 2A.....	7
ASCOF 2B/C .....	12
ASCOF 2D.....	13
ASCOF 2E.....	14
ASCOF 3D.....	17
Appendix 1: Summary of methodology changes from the central transformation principles .....	19
Appendix 2: Reproducibility assessment of ASCOF measures from CLD compared to SALT.....	21
Appendix 3: Event outcome hierarchy .....	26
Appendix 4: Deriving sequels to ST-Max for ASCOF 2A .....	27
Appendix 5: ASCOF 2A outcomes.....	30
Appendix 6: Service type and delivery mechanism hierarchy (ASCOF 2A and ASCOF 3D) .....	31
Appendix 7: Accommodation status mapping.....	32
Appendix 8: Carer support hierarchy (ASCOF 3D).....	33

# Introduction

This document outlines the methodologies and detailed data processing steps for creating 5 ASCOF measures from client level data (CLD). The methods build upon the [central transformation principles](#) developed by NHS England. Working with local authorities via the CLD reference group, we have adapted the measures based on feedback to improve accuracy and comparability with SALT derived figures and to minimise the impact of known data quality issues. Nevertheless, CLD derived metrics are not expected to perfectly match SALT derived equivalents given the change in the data source, particularly the change in method of collection from aggregate to event level reporting. A summary of the changes to the methods can be found in [appendix 1](#) and an assessment of comparability with SALT is available in [appendix 2](#).

These methodologies are near final however there are some areas which remain under review with the potential for future development. These are indicated throughout the document, and we would welcome feedback from local authorities on these areas.

## Common data processing steps

### Processing the data for analysis

#### Summary

There are two methods of selecting and processing CLD submissions, depending on the data required for analysis:

1. Single submissions for analysis requiring data over a period of 12 months
2. Joined submissions for analysis requiring data covering more than 12 months

As part of the central processing, main data tables are updated on a quarterly basis to cover both the latest 12 month reporting period (single submissions table) or an extended period going back to 1 April 2023 (joined submissions table). Joined submissions are required for the calculation of metrics where definitions/selection of cohorts rely on prior information about individuals' care and event histories e.g. identifying 'new' clients.

The main processing steps in production of these tables are:

- Selecting submissions covering the required analysis period
- Filtering the data to events in the period
- Creating cleaned and derived fields
- Deduplicating records

## Methodology

The processing steps to produce the main data tables are:

1. Data cleaning of priority fields – invalid values are replaced where the equivalent valid value can be confidently identified
2. Amending event end dates – to match the date of death where this precedes the service end date, or to match the reporting period end date where the service end date appears to have been erroneously left blank (i.e. the service has a blank end date in one submission but is not included in the next submission)
3. Selecting submissions:

Single submissions – data is selected by taking the latest submission covering the latest 12-month submission reporting period. The reporting period stated in the submission is used.

Joined submissions – data is selected by combining submissions covering the last 12 months plus prior periods going back to 1 April 2023. The reporting period stated in the submission is not taken as given, instead it is derived by checking the data in each submission.

Deduplication – The table below lists the fields used to determine unique events. For requests, assessment and reviews, the fields used to produce the joined submissions and single submissions tables are the same. For services, some additional fields with time varying information that could change between submissions (delivery mechanism, costs and units) are only used to identify unique service events in the single submissions table.

	Requests	Assessments	Services	Reviews
LA Code	✓	✓	✓	✓
Derived Person ID (NHS number unless missing then LA_ID)	✓	✓	✓	✓
Event Start Date	✓	✓	✓	✓
Event End Date	✓	✓		✓
Client Type	✓	✓	✓	✓
Request: Route of Access	✓			
Assessment Type		✓		
Service Type			✓	
Service Component			✓	
<b>Single submissions table only:</b>				
Delivery Mechanism			✓	
Unit Cost			✓	
Cost Frequency (Unit Type)			✓	
Planned units per week			✓	

The figures on the dashboard are presented for the statistical reporting year 2023/24 as well as for the latest 12 month period. The submissions used and data processed for each ASCOF measures is set out in the table below.

Measure	Definition	Data used
ASCOF 2A (formerly 2D)	The proportion of people who received short-term services during the year – who previously were not receiving services – where no further request was made for ongoing support (%)	Joined submissions table
ASCOF 2B (formerly 2A(1))	The number of adults whose long-term support needs are met by admission to residential and nursing care homes, for 18-64yrs (per 100,000 population)	Joined submissions table
ASCOF 2C (formerly 2A(2))	The number of adults whose long-term support needs are met by admission to residential and nursing care homes, for 65+yrs (per 100,000 population)	Joined submissions table
ASCOF 2E (formerly 1G)	The proportion of people who receive long-term support who live in their home or with family (%)	Single submission table covering 12 months
ASCOF 3D (formerly 1C)	The proportion of clients who use services who receive self-directed support (%)	Single submission table covering 12 months

## Person identifiers

The anonymised person identifier used throughout the ASCOF measures is the pseudonymised traced NHS number in the first instance. If this is missing, the pseudonymised local authority provided NHS number is used. If both NHS numbers are missing, the local authority unique person identifier is used. This methodology is consistent with that used in the local authority CLD dashboard.

## New client definition

***The definition of a new client for the purposes of ASCOF is under review and we would welcome feedback on the proposed options below.***

Previously in SALT, the definition of ‘new’ was that a person was not in receipt of long term support at the time of making a request for support. This affects ASCOF 2A, describing outcomes of reablement for new clients, and ASCOF 2B/C describing new admissions to nursing or residential care, which includes admissions of new clients as well as people moving from community to nursing or residential settings.

Within CLD, local authorities have flagged that request for supports are not consistently submitted as event records, e.g. in some local authorities, these are sometimes missing for people who are referred directly from the hospital for reablement. This is a known data quality issue. Further, since all requests are included in CLD (unlike SALT) and are not flagged as ‘new’ or ‘existing’, it is necessary to look at an individual’s previous CLD event records to identify whether

they received long term support in the past. For these reasons, the CLD reference group support removing the requirement that a request record is used when calculating ASCOF measures, and instead rely solely on whether a person previously received long term support.

We are considering alternative ways of identifying new clients using previous records of long term support, such as:

- a) someone who has not been in receipt of local authority organised or funded long term support within the X months prior to the start of the activity of interest, where X could be 3, 6 or 12 months for example. A period of 12 months may better reflect a person's experience of being genuinely 'new' to local authority adult social care. However, it may be overly restrictive by excluding people who received long term support during the 12 months, but who had a significant break in their care and later returned to their local authority, potentially with a new need or a change in circumstances.
- b) someone who is not in receipt of local authority organised or funded long term support at the start of the activity of interest. This is equivalent to setting X to 0 months. In this instance, individuals experiencing very short breaks in their long term support, such as those admitted to hospital, would be considered new clients. Additionally, the recording of services in CLD presents a challenge, as long term service events are often closed and reopened due to changes in cost, hours or provider. To account for this, a small tolerance of a few days would still need to be considered, even if this definition was adopted.

The revised figures currently on the dashboard are using a new client definition of a) someone who has not been in receipt of local authority organised or funded long term support within the 12 months prior to the activity of interest. For ASCOF 2A, this considers all long term support 12 months prior to the reablement start date. For ASCOF 2B and 2C, this definition is adapted accordingly and those not in receipt of long term residential or nursing care in the 12 months prior to the start date of a long term residential or nursing service are considered a new admission.

There were mixed views from CLD reference group on the definition of a new client; some advocated for consistency across ASCOF, whereas others were open to different definitions depending on the measure. For example, a 12 month period during which an individual didn't receive long term nursing or residential care may be appropriate for measuring new admissions (ASCOF 2B/C) and a shorter 3-month period without any long term support may be more appropriate for identifying those new to reablement (ASCOF 2A). *As mentioned above, the current approach is not final, and we would therefore welcome feedback from local authorities.*

# ASCOF 2A

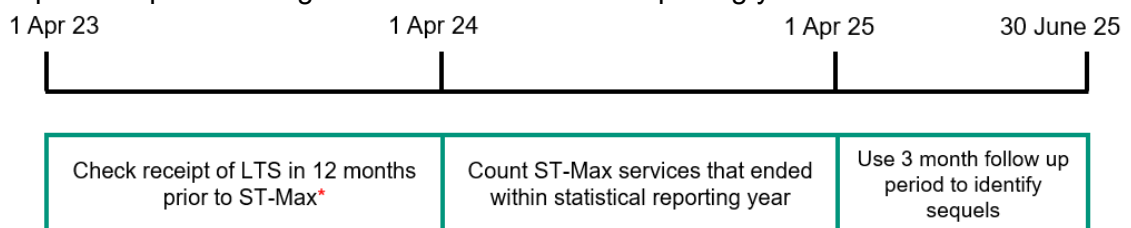
*The proportion of people who received reablement during the year, who previously were not receiving services, where no further request was made for ongoing support*

## Stage 1 – identify reablement events in scope

The first stage processes the joined submissions dataset to identify ST-Max events, clusters these events together and selects to those which ended in the statistical reporting year.

1. Using the joined submissions table (see [processing the data for analysis](#)), select data covering the statistical reporting year of interest, plus an additional 12 months of data prior to the period to establish whether an individual is a new client\*. For the latest year (e.g. Jan – Dec 24) there will be some reablement events ending towards the end of the period where the outcome (sequel) is unknown because subsequent events occur in the next quarter. For the statistical reporting year 23/24, an additional 3 months' of follow-up data will be used to improve the likelihood of determining an outcome (sequel).

The diagram below shows how a table comprised of joined submissions will be used to produce published figures for 24/25 statistical reporting year:



*\*Please note the definition of a new client is under review and we would welcome feedback. See [new client definition](#) section for more information.*

2. Create a build table, by selecting only to events where:

- Client Type = Service User
- Age at event start date is 18 and over
- Person ID is not null
- Event start date is not null and is before event end date
- Date of death is after reporting period start, or is null

At this stage null event end dates are replaced with '9999-01-01' for ease of processing.

3. Create a sub-table of reablement events using:

- Event Type = Service
- Service Type = Short Term Support: ST-Max

4. Cluster together reablement events which overlap or occur within 1 day of each other, as one episode of reablement may be submitted as multiple event records, and filter to those ending in the period:
  - a. Individual records with Service Type = ST-Max which are consecutive or concurrent based on event start and end dates (i.e. the records are overlapping or maximum of 1 day apart) are clustered together.
  - b. Each cluster is assigned the earliest event start date and the latest event end date.
  - c. Each cluster is assigned the event outcome of the record with the latest event end date. If two records have different event outcomes and the same event end date, the event outcome hierarchy is applied to select the outcome with the highest rank (see [appendix 3](#) for the hierarchy).  
The outputted dataset now consists of one line representing each cluster of reablement events, with the relevant event start and end dates and event outcome.
  - d. Select records where the cluster end date falls within the statistical reporting year (e.g. for 24/25 the end date must be between 1 April 2024 and 31 March 2025 inclusive).

Example ST-Max clusters for one person, where ST-Max events appear to close and reopen and potentially contain duplicates:

Service Type	Event Start Date	Event End Date	Event Outcome	ST-Max Cluster ID
Short Term Support: ST-Max	01/07/2024	03/08/2024	Progress to reablement	1
Short Term Support: ST-Max	04/08/2024	20/08/2024	NFA - Other	1
Short Term Support: ST-Max	06/08/2024	20/08/2024	Service ended as planned	1
Short Term Support: ST-Max	16/09/2024	29/09/2024	Progress to reablement/ST-Max	2
Short Term Support: ST-Max	30/09/2024	01/01/9999*	Provision of service	2



Service Type	Cluster Event Start Date	Cluster Event End Date	Cluster Event Outcome	ST-Max Cluster ID
Short Term Support: ST-Max	01/07/2024	20/08/2024	Service ended as planned	1
Short Term Support: ST-Max	16/09/2024	01/01/1999*	Provision of service	2

\*Originally null, overwritten for the purposes of processing data chronologically



## Stage 2 – determine those who were new clients\*

This stage selects those who received reablement in the year and were previously not in receipt of support. This is identified by looking at an individuals previous CLD event records to identify whether they received long term support in the 12 months prior to their reablement\*.

*\*Please note the definition of a new client is under review and we would welcome feedback. See [new client definition](#) section for more information.*

1. Link the now clustered ST-Max records to all other records for the same person (present in the initial build table), regardless as to whether each event occurred before or after the ST-Max. Note, it also includes linking back to the ST-Max events themselves.
2. Flag where the ST-Max cluster has linked to the ST-Max records which formed the cluster in the first instance, these records are then replaced with null (not deleted as needed to retain any records where they have no other events, and the only instance is them joining to themselves). These records are identified by:
  - Event Type = Service
  - Service Type = Short Term Support: ST-Max
  - Event start date is between the start and end dates of the reablement cluster
3. Identify and filter to new clients, defined as those who have no long term support services present in the 12 months prior to the reablement start date.

Example of joining ST-Max to all events for the same person and determining if they are a new client. In this instance, the first ST-Max episode is counted as there was no prior long term support, whereas the second episode is not as the person was in receipt of long term support in the 12 months prior to their ST-Max.

ST-Max clusters			Joined to all other events for the same person				Create flags		
ST-Max Cluster ID	Cluster Event Start Date	Cluster Event End Date	Event Type	Service Type	Event Start Date	Event End Date	Same ST-Max Self-join)	New client (event level flag)	New client (cluster level flag)
1	01/07/2024	20/08/2024	Request	NA	06/06/2024	06/06/2024	0	1	1
1	01/07/2024	20/08/2024	Service	Short Term Support: ST-Max	01/07/2024	03/08/2024	1	1	1
1	01/07/2024	20/08/2024	Service	Short Term Support: ST-Max	04/08/2024	20/08/2024	1	1	1
1	01/07/2024	20/08/2024	Service	Short Term Support: ST-Max	06/08/2024	20/08/2024	1	1	1
1	01/07/2024	20/08/2024	Assessment	NA	22/08/2024	02/09/2024	0	1	1
1	01/01/2024	20/08/2024	Service	Long Term Support	03/09/2024	01/01/9999*	0	1	1
2	16/09/2024	01/01/9999*	Service	Long Term Support	02/01/2024	28/08/2024	0	0	0
2	16/09/2024	01/01/9999*	Service	Short Term Support: ST-Max	16/09/2024	29/09/2024	1	1	0
2	16/09/2024	01/01/9999*	Service	Short Term Support: ST-Max	30/09/2024	01/01/9999*	1	1	0

\*Previously null, overwritten for the purposes of processing data chronologically

## Stage 3 – determine sequels

### Summary

Sequels describe the immediate outcome after reablement, i.e. what happened next. For ASCOF 2A, these are used to identify whether the person went on to require further support or whether their reablement successfully helped them regain independence. This is determined in CLD using the chronology of events which follow the reablement service, with a threshold of 3 days (see more detail under the ‘creating chains of events’ section below). If no events occur after the reablement service, the sequel is determined using the outcome recorded in the CLD event outcome field. There are 5 different situations which can arise, outlined in the table below and the detailed data processing steps for identifying sequels are outlined in [appendix 4](#).

Sequel Type	Summary	Description	Sequel determined using
1	No future events	There are no events open on the ST-Max end date nor are there any events which start on or after the end date of the ST-Max cluster.	Outcome recorded in the event outcome field of the ST-Max cluster (hierarchy applied if necessary)
2	Service in sequel chain	There is a service event in the chain of events following the ST-Max.	Service Type (hierarchy applied if necessary)
3	NFA in sequel chain	There is a non-service event in the chain of events following the ST-Max with an event outcome which includes ‘no further action (NFA)’	NFA outcome recorded in the event outcome field of the sequel event
4	No info in sequel chain	There are no services or NFA outcomes in the chain of events following the ST-Max.	Outcome recorded in the event outcome field of the ST-Max cluster (hierarchy applied if necessary)
5	Sequel out of scope	The events following the ST-Max were either greater than 3 days after ST-Max ended or another ST-Max event was encountered.	Outcome recorded in the event outcome field of the ST-Max cluster (hierarchy applied if necessary)

## Stage 4 – determine numerator and denominator

Denominator – where outcome in:

- Long Term Support: Community
- Long Term Support: Nursing Care
- Long Term Support: Residential Care
- Long Term Support: Prison
- Short Term Support: Ongoing Low Level
- Short Term Support: Other Short Term
- NFA – Information & Advice / Signposting only
- NFA – Moved to another LA
- NFA – Other
- NFA – No services offered: other reason
- NFA – Support ended: other reason
- Service ended as planned

Numerator indicating successful reablement – where outcome in:

- Short Term Support: Ongoing Low Level
- Short Term Support: Other Short Term
- NFA – Information & Advice / Signposting only
- NFA – Moved to another LA
- NFA – Other
- NFA – No services offered: other reason
- NFA – Support ended: other reason
- Service ended as planned

*Future development – this methodology and accompany SQL script is yet to be adapted to include disaggregation by age.*

See [appendix 5](#) for the list of outcomes and how they are treated in the final ASCOF calculation. *Some outcomes are excluded from the numerator and denominator as it cannot be determined whether further long term support was required or not. Feedback from local authorities is welcome on additional outcomes that are typically associated with future receipt of long term support (or its absence) and whether they can be included in the measure.*

## ASCOF 2B/C

The number of adults aged 18 to 64 (2B) or 65 and over (2C) whose long-term support needs are met by admission to residential and nursing care homes, per 100,000 population.

1. Select submissions and filter to long term support – select data from the joined submissions table covering the start of CLD to the end of the statistical reporting year of interest (see section on [processing the data for analysis](#) for more information). Data describing activity prior to the year of interest is required to determine ‘new’ admissions. People receiving long term residential or nursing care are selected by:

Client Type = ‘Service User’  
 Event Type = ‘Service’  
 Service Type = ‘Long Term Support: Residential Care’ or ‘Long Term Support: Nursing Care’

2. Identify people admitted within the year from the table using the event start date. For example, for 24/25 this is any event where the event start date is between 1 April 2024 and 31 March 2025 inclusive.
3. Of these, filter to those who are new admissions\* by excluding anyone with a long term residential or nursing service within the 12 months prior to the event start date of their long term residential or nursing service falling within the year of interest. Using this approach, a person who had a break in their long term residential or nursing support of 12 months or more would be considered a new admission.

*\*Please note the definition of a new client is under review and we would welcome feedback. See [new client definition](#) section for more information.*

Examples: The table lists all long-term support events for each individual, which are then used to determine new admissions to residential or nursing care.

Person ID	Service Type	Event Start Date	Event End Date	New long term residential or nursing care admission
Person A	Long Term Support: Community	03/08/2024	12/12/2024	NA
Person A	Long Term Support: Nursing	15/12/2024	NULL	Yes - no long term residential or nursing care in 12 months prior to event start date
Person B	Long Term Support: Residential	18/04/2023	22/07/2023	Yes - no long term residential or nursing care in 12 months prior to event start date
Person B	Long Term Support: Residential	29/11/2024	NULL	Yes - the previous long term residential care ended over 12 months ago, this person is now a new admission
Person C	Long Term Support: Nursing	01/04/2023	31/03/2024	Yes - no long term residential or nursing care in 12 months prior to event start date
Person C	Long Term Support: Nursing	01/04/2024	15/09/2024	No - the previous long term nursing care service ended within the 12 months prior to this service start date
Person C	Long Term Support: Nursing	18/09/2024	NULL	No - the previous long term nursing care service ended within the 12 months prior to this service start date

4. Numerator – count the number of new admissions by age at the start of the event to determine whether each person is counted in 2B (18-64) or 2C (65 and over).
5. Denominator – this is taken from the ONS mid-year population estimates for each local authority for the respective age groups.

## **ASCOF 2D**

*The proportion of people aged 65 and over discharged from hospital into reablement and who remained in the community within 12 weeks of discharge.*

The detailed methodology for this metric is under development and more information will be shared in due course. In the meantime more information on this metric is available in the [Adult social care outcomes framework: handbook of definitions - GOV.UK](#).

## ASCOF 2E

*The proportion of people who receive long-term support who live in their home or with family.*

*Part 1 – Clients with a learning disability aged 18 to 64*

*Part 2 - All Clients disaggregated by age group: 18 to 64 and 65 and over*

### Stage 1 – identify clients in scope

From the single submissions table (see section on [processing the data for analysis](#)), filter to records of long term support by:

Client Type = 'Service User'

Service Type = 'Long Term Support: Residential Care' or 'Long Term Support: Nursing Care' or 'Long Term Support: Community'

Age at event start date is 18 and over

Person ID is not null

Event start date is not null and is before event end date

Date of death is after reporting period start or null

\* *Primary Support Reason = 'Learning Disability' (for 2E Part 1 only)*

*\*Figures for Part 1 and 2 of this measure are produced separately. Selecting clients with a primary support reason as learning disability is applicable for 2E Part 1 only. For 2E Part 2, there is no restriction on primary support reason.*

### Stage 2 – create a lookup table with the latest person details for each client within the statistical reporting period

1. In a separate script the latest person details (accommodation status, gender, and age) are determined from the single submissions table for each person.
2. Accommodation status and gender:
  - i. Overwrite nulls with 'Unknown' and create a flag which assigns 0 for unknown values, and 1 for all other values, including invalid entries which do not match the CLD specification.
  - ii. Selects the latest recorded accommodation status or gender based on the following sort order:
    - Known person details over unknown
    - Open events (where event end date is null) prioritised
    - Latest Event End date
    - Latest Event Estart date
  - iii. If the above returns two rows for the same person with conflicting person details this is overwritten with unknown

Example: in the below scenario, person details (accommodation status or gender) is taken from the top row, following sorting by known status, open events, latest event end date and latest event start date, as shown for Client A. For Client B, there are records with conflicting data, which have both been selected as the latest. In this instance, they are overwritten with unknown.

Person ID	Known person detail flag	Event end date	Event start date	Sort order	Final person detail
Client A	1	NULL	01/05/2024	1	Person detail is selected from this row
	1	01/12/2024	01/04/2024	2	
	1	01/12/2024	01/04/2024	3	Not selected
	0	NULL	01/04/2024	4	
Client B	1	01/12/2024	01/04/2024	1	Person detail overwritten as 'Unknown'
	1	01/12/2024	01/04/2024	1	
	0	NULL	01/04/2024	2	Not selected

3. Age at the end of the statistical reporting year:
  - i. DHSC receives a client's birth year and month therefore, the date of birth is taken as the first of the month and the age is calculated at the end of the reporting period for all events in the single submissions table.
  - ii. Due to data quality issues, a person may have different recorded dates of birth resulting in different ages at the end of the period. In this instance the maximum age is taken.
4. The latest accommodation status, age and gender (which may have been taken from different event rows) are joined with the LA code, person ID to form a lookup table of latest person information.
5. The latest person detail table is joined to the table in section 1, providing the latest details for the clients in scope for 2E.

### Stage 3 – determine the final figures

1. Denominator – count the number of people in the joined table created in section 2 (people receiving long term support with latest person information). This includes anyone with an unknown or invalid accommodation status or gender.
2. Numerator – count the number of people whose accommodation status is categorised as 'living in their home or with family'. See [appendix 5](#) for the categorisation. Only entries matching the specification exactly (valid) are included in the numerator.
3. Figures are disaggregated by age (as of the end of the reporting period) and gender. Other/Unknown/Null gender are included in total counts.
4. Outcome is calculated by numerator / denominator \* 100

*To note, the decision to include people with an unknown or invalid accommodation status was taken following an assessment of data quality and based on feedback from local authorities, as this approach produces figures more comparable to SALT derived equivalents.*

*Future development – to improve coverage and accuracy we are exploring using the service type and service component information to help determine a person's accommodation status in addition to the accommodation status field.*



## ASCOF 3D

*The proportion of people using social care who receive self-directed support, and those receiving direct payments. This is split into 4 parts:*

*1a – clients receiving self-directed support*

*1b – carers receiving self-directed support*

*2a – clients receiving direct payments*

*2b – carers receiving direct payments*

### Client based measures (parts 1a and 2a)

1. From the single submissions table (see section on processing the data for analysis) filter to clients with a long term service open at the end of the period:
  - Client Type = Service User
  - Service Type = Service Type = 'Long Term Support: Residential Care' or 'Long Term Support: Nursing Care' or 'Long Term Support: Community'
  - Date of death is after the reporting period start date or is null
  - Event Start Date is on or before the reporting period end date and
  - Event End Date is on or after the reporting period end date, or is null (open services).
2. For clients receiving multiple long term services at the end of the year, deduplicate based on a hierarchy which considers both the service type and delivery mechanism (see [appendix 6](#)):
  - a. Clients with Service Type = 'Long Term Support: Community' and either Service Component = 'Direct Payment' or Delivery Mechanism = 'Direct Payment' are assigned the same rank.
  - b. Choose the record with the lowest rank (highest in the hierarchy) per client
3. Part 1a and 2a denominator - count the number of people where:
  - Service Type = 'Long Term Support: Community'
4. Part 1a numerator - count the number of people where:
  - Service Type = 'Long Term Support: Community' and either
  - Delivery\_Mechanism = 'Direct Payment' or 'CASSR Managed Personal Budget' or
  - Service\_Component = 'Direct Payment'
5. Part 2a numerator – count the number of people where:
  - Service Type = 'Long Term Support: Community' and either
  - Delivery\_Mechanism = 'Direct Payment' or
  - Service\_Component = 'Direct Payment'
6. All counts are disaggregated by age (18 to 64 and 65 and over) based on the age at the end of the reporting period.

## Carer based measures (parts 1b and 2b)

1. Select the table of single submissions (see section on processing the data for analysis) and filter to carers receiving support, which is identified by 3 different ways:

Client Type = 'Carer' or 'Carer known by association' and

- a. Service Type = 'Carer Support: Direct to Carer' or 'Carer Support: Support involving the person cared-for'  
OR
  - b. Service Type is null and Event Outcome = 'NFA – Information & Advice / Signposting only'  
OR
  - c. Service Type is null and Event Type = 'Assessment' or 'Review'
2. Select those receiving support during the year, where Event start date is on or before the reporting period end date and event end date is on or after the reporting period start date or is null (ongoing services).
  3. For carers receiving multiple forms of support during the year, deduplicate based on the hierarchy in [appendix 8](#) using the combination of event type, service type, service component, event outcome and delivery mechanism.
  4. Part 1b and 2b denominator – count the number of people where:  
Support provided = 'Direct Payment', 'CASSR Managed Personal Budget' or 'CASSR Commissioned Support only'
  5. Part 1b numerator – count the number of people where:  
Support provided = 'Direct Payment' or 'CASSR Managed Personal Budget'
  6. Part 2b numerator – count the number of people where:  
Support provided = 'Direct Payment'
  7. All counts are disaggregated by age (18 to 64 and 65 and over) based on the age at the end of the reporting period.

## Appendix 1: Summary of methodology changes from the central transformation principles

Measure	Change	Rationale
All measures	Person ID methodology	The DHSC methodology for person IDs is now being used for all ASCOF measures. This uses the pseudonymised traced NHS number in the first instance, if this is missing then the local authority provided NHS number. If both NHS number fields are missing, the local authority person identifier is used. This methodology is consistent with that used in the local authority CLD dashboard and DHSC's monthly adult social care statistics publication.
ASCOF 2A	Removed the requirement for a prior request	Local authorities provided feedback that linking a reablement service to the prior request is not always feasible due to case management system processes and the ability to accurately link requests to related subsequent activity. In response local authorities supported removing this requirement for this measure.
	Change to using the latest submission for each quarter joined together, rather than using all data ever submitted	The previous method processed all submissions provided by a local authority. Given submissions cover a rolling 12 month period, with 9 months of events superseded each quarter, the data in the latest submission is more accurate and often of better quality than previous submissions. The improved methodology selects the latest file covering the latest 12 months and appends data in 3 month periods using the latest submission for that quarter.
	New client definition	Previously a new client was determined based on whether a person was in receipt of long term support at the time of their request. Given the prior request is no longer a requirement for this measure <i>the new definition is under review and we welcome feedback – see the new client definition section for more information.</i>
	Re-categorised some of the final outcomes	The following outcomes were previously included in the numerator and the denominator however are now being excluded: <ul style="list-style-type: none"> <li>Admitted to hospital</li> <li>Proceed to end of life care</li> </ul> <i>These outcomes and others listed in appendix 1 are under review and we would welcome feedback from local authorities.</i>

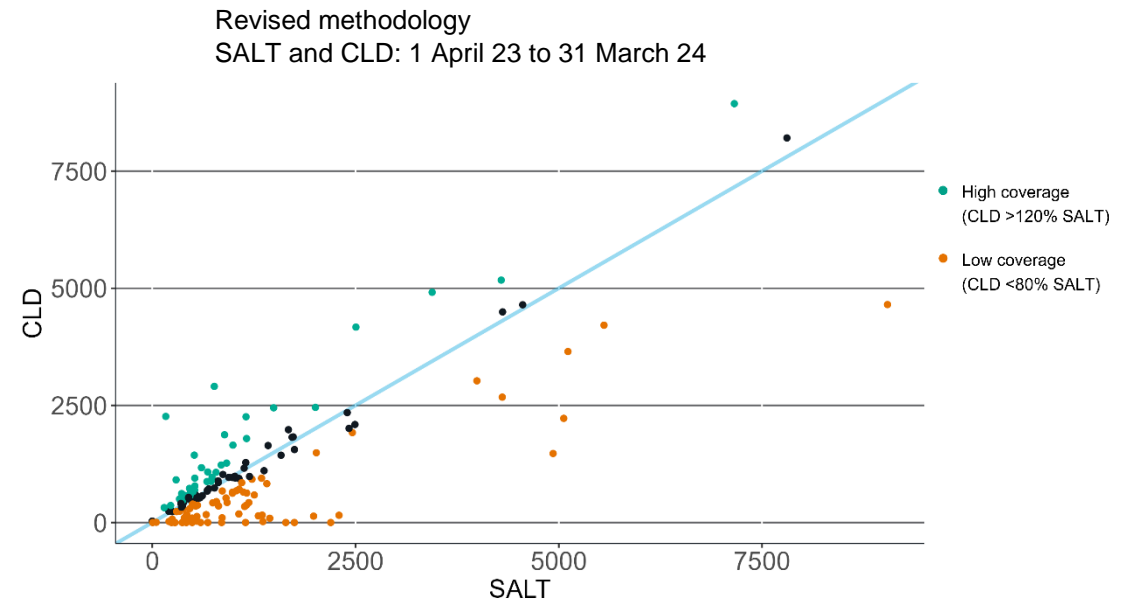
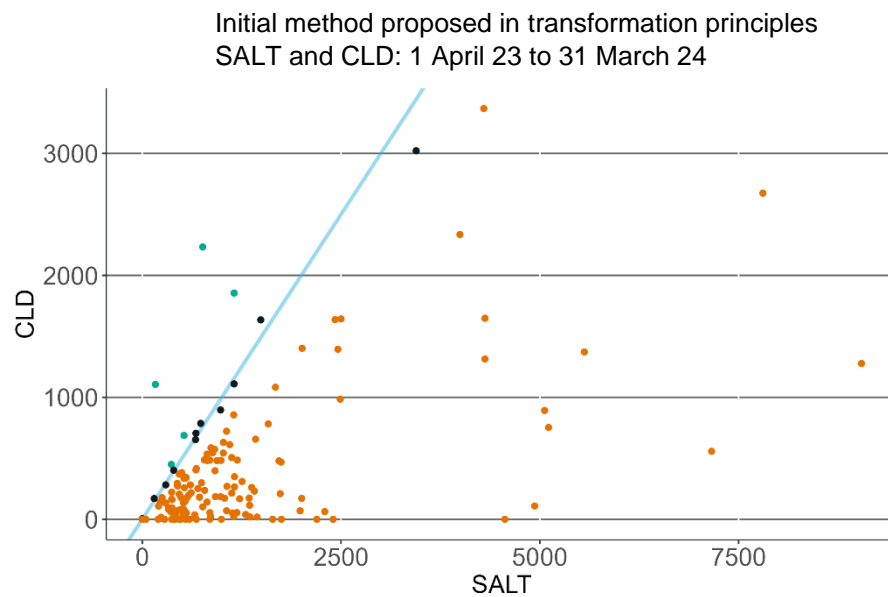
Measure	Change	Rationale
ASCOF 2B & 2C	New client definition	Feedback from local authorities supported a central definition of a 'break' period between two long term residential and nursing services, after which a person becomes a new admission again. Currently this period is 12 months however <i>this is under review and we welcome feedback – see the new client definition section for more information.</i>
	Change to using the latest submission for each quarter joined together, rather than using all data ever submitted	The previous method processed all submissions provided by a local authority. Given submissions cover a rolling 12 month period, with 9 months of events superseded each quarter, the data in the latest submission is more accurate and often of better quality than previous submissions. The improved methodology selects the latest file covering the latest 12 months and appends data in 3 month periods using the latest submission for that quarter.
ASCOF 2E	Produce figures for both part of the metric (18 to 64 for LD and all clients by both age groups)	Updated in line with the handbook and based on local authority feedback for clarification of cohorts.
	Settled/unsettled categorisations no longer used, in preference of 'Living in their home or with family' or not.	For the purposes of ASCOF the previous classifications are no longer appropriate, particularly where a care home for an older person would be considered unsettled. New categorisations better align with the handbook and measuring independence.
	Taking the latest known person details from the single submission from any event	Person details (accommodation status and gender) were previously derived from the latest long term service event. Using the latest details better aligns with SALT principles and decreases the number of people with an unknown accommodation status.
	Introduced other/unknown genders into the totals.	Increases the scope of the collection.
ASCOF 3D	<i>No changes have been made to the methodology.</i>	

## Appendix 2: Reproducibility assessment of ASCOF measures from CLD compared to SALT

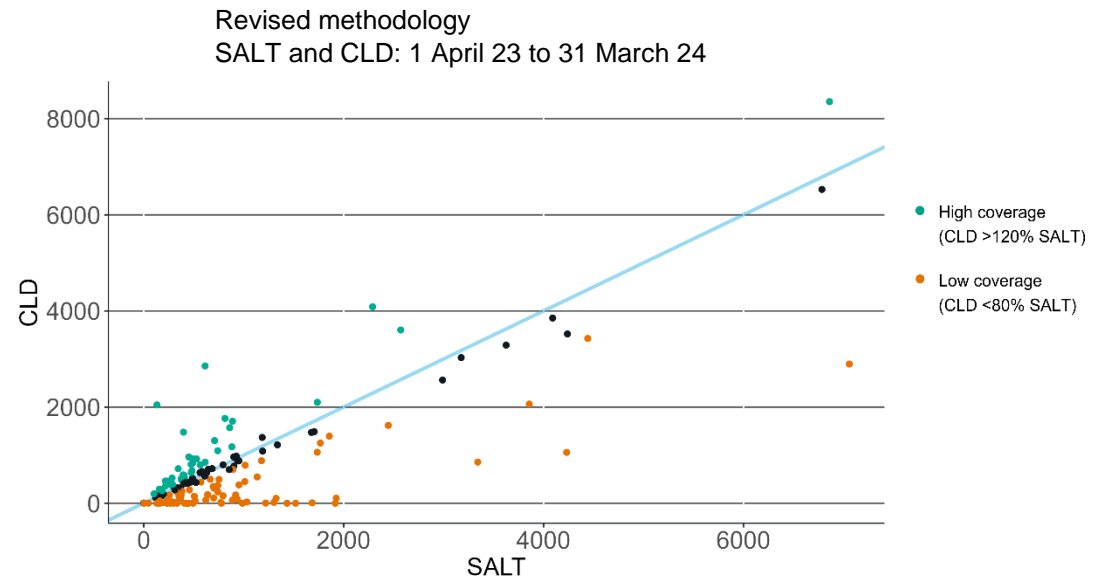
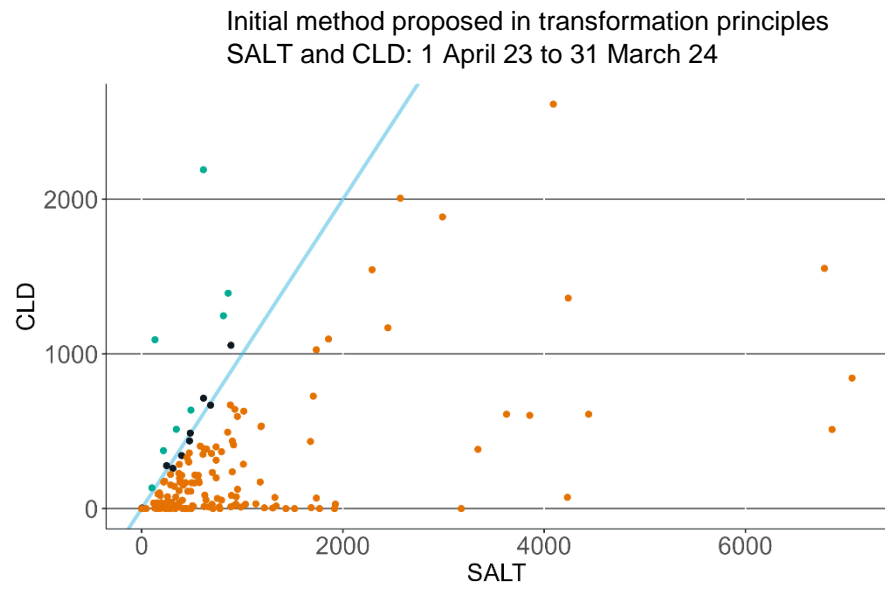
Whilst ASCOF figures derived from CLD are not expected to exactly match those derived from SALT, the following analysis has been carried out as an assessment of comparability to aid with adapting the methodologies. The following analysis compares 23/24 ASCOF figures derived from SALT (published in the latest ASCOF publication) with figures derived from CLD using the methodologies outlined in the original NHSE transformation principles and those outlined in this document. In each chart, a dot represents each local authority, and the blue line represents when SALT and CLD values are the same. As well as adapting methodologies, DHSC will continue to work with local authorities to improve coverage and data quality of relevant parts of the CLD submission, such as reablement and support to unpaid carers.

### ASCOF 2A

Denominator – the number of new clients who had reablement



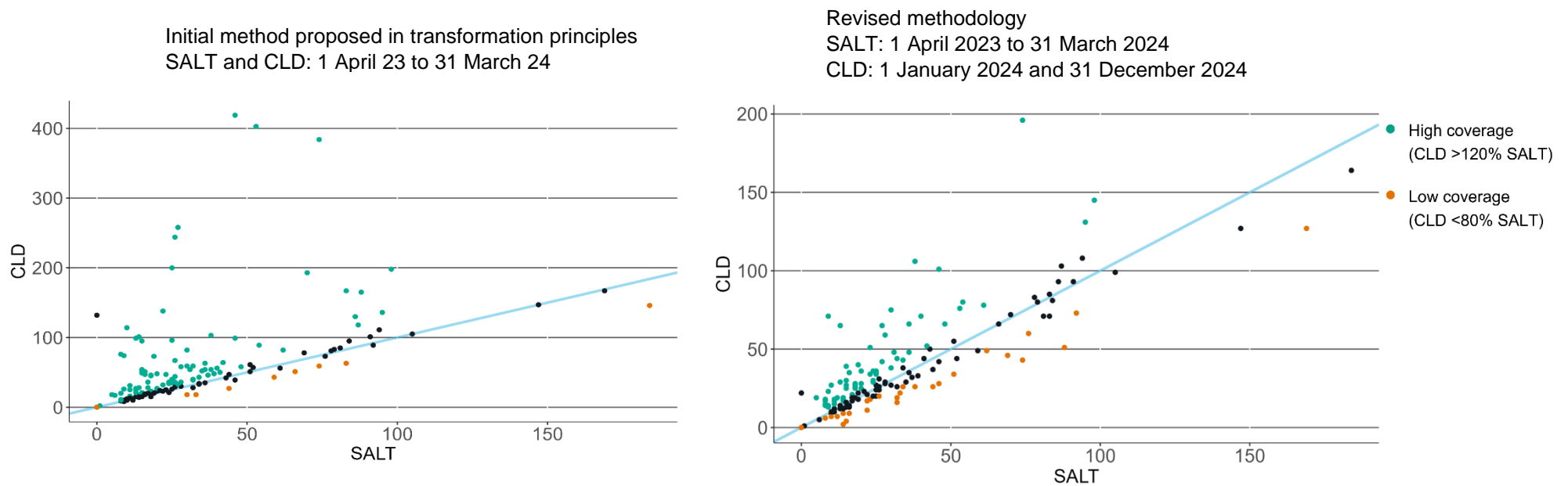
Numerator – the number of new clients who had reablement, where no further request was made for ongoing support



## ASCOF 2B

**Numerator** – The number of people (18 to 64) who's long term support needs were met by admission to residential and nursing care.

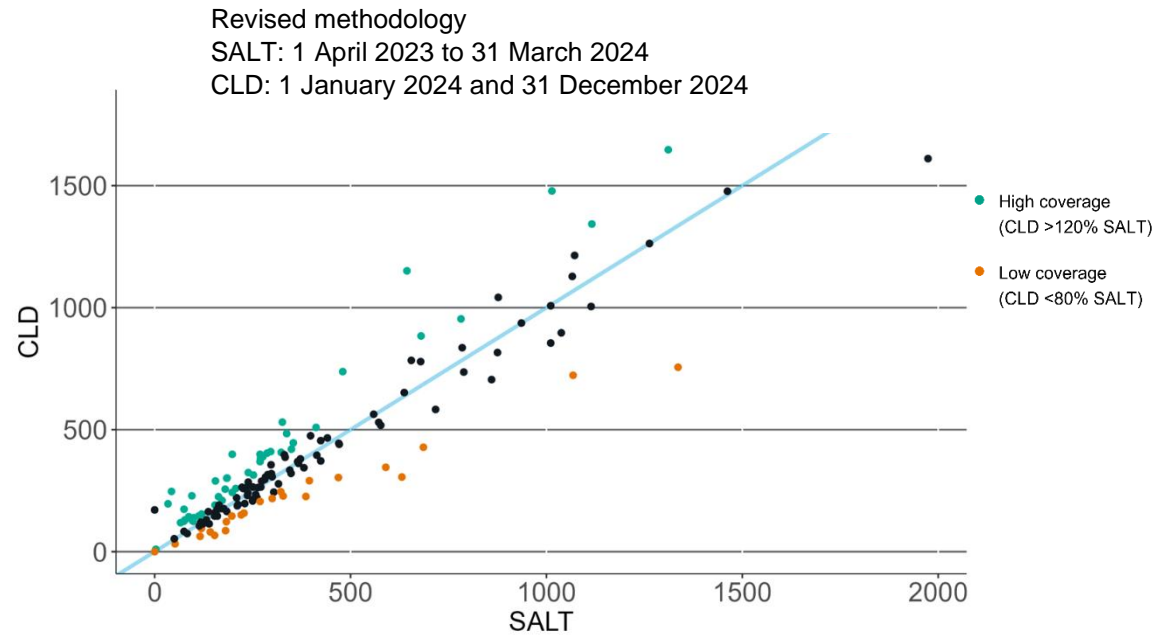
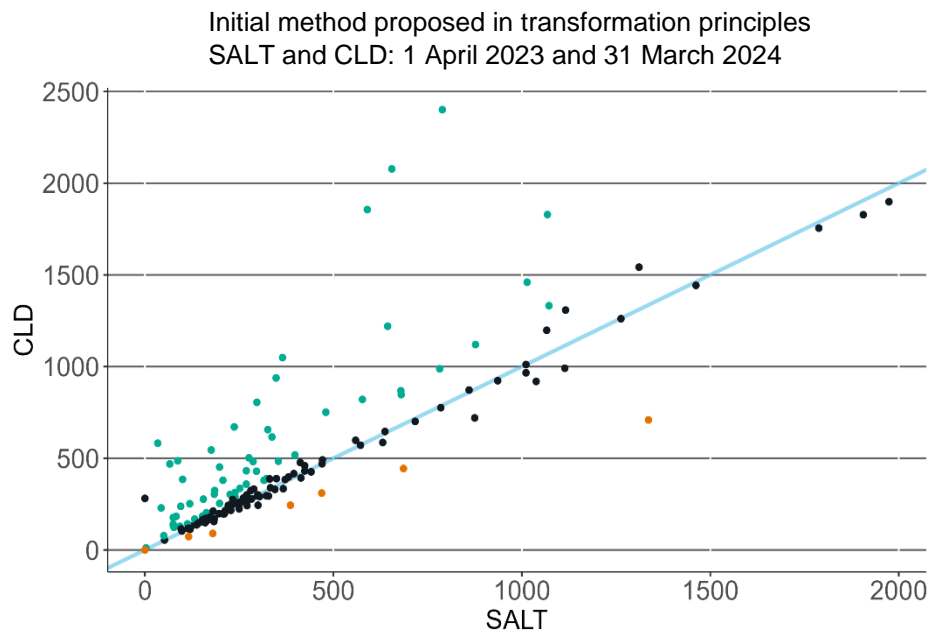
Figures for April 23 to March 24 are biased upwards, as this period covers the first year of the CLD collection. Many people may appear new, particularly with a service starting at the beginning of April when costs often change, and we don't have the data prior to April 2023 to determine whether they were previously receiving long term services or not. Figures for 1 Jan 24 to 31 Dec 24 as shown below have a marked improvement in comparability, despite differing reporting periods.



## ASCOF 2C

**Numerator** – The number of people (64 and over) who's long term support needs were met by admission to residential and nursing care.

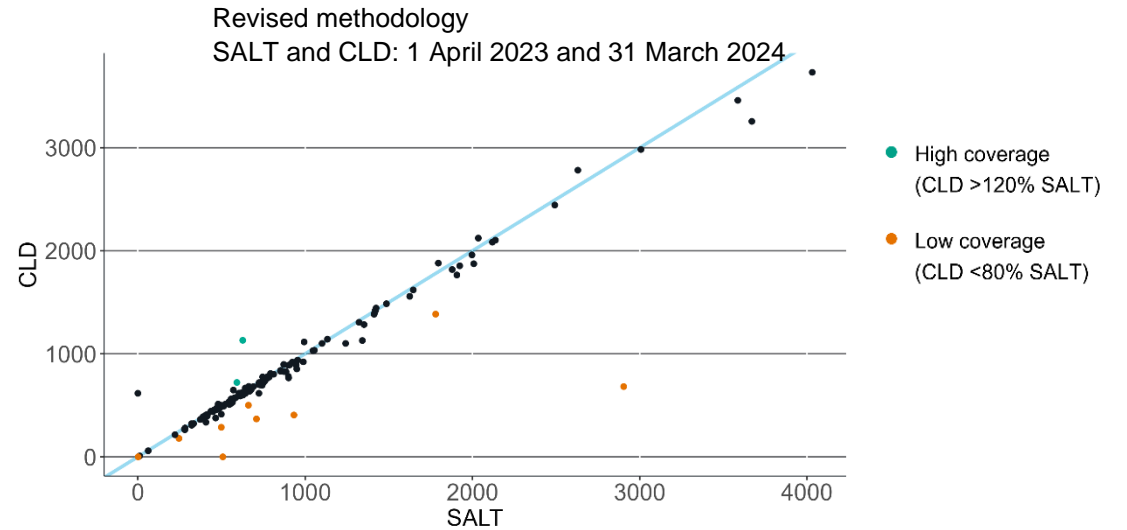
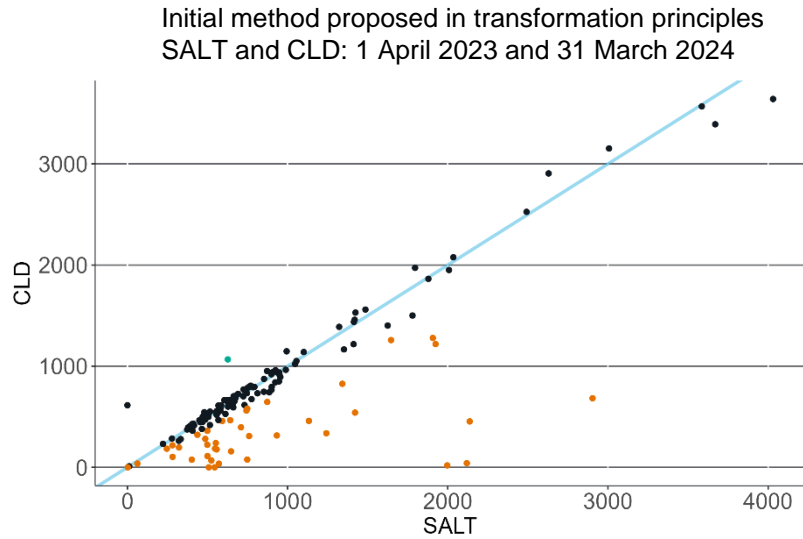
Figures for April 23 to March 24 are biased upwards, as this period covers the first year of the CLD collection. Many people may appear new, particularly with a service starting at the beginning of April when costs often change, and we don't have the data prior to April 2023 to determine whether they were previously receiving long term services or not. Figures for 1 Jan 24 to 31 Dec 24 as shown below have a marked improvement in comparability, despite differing reporting periods.



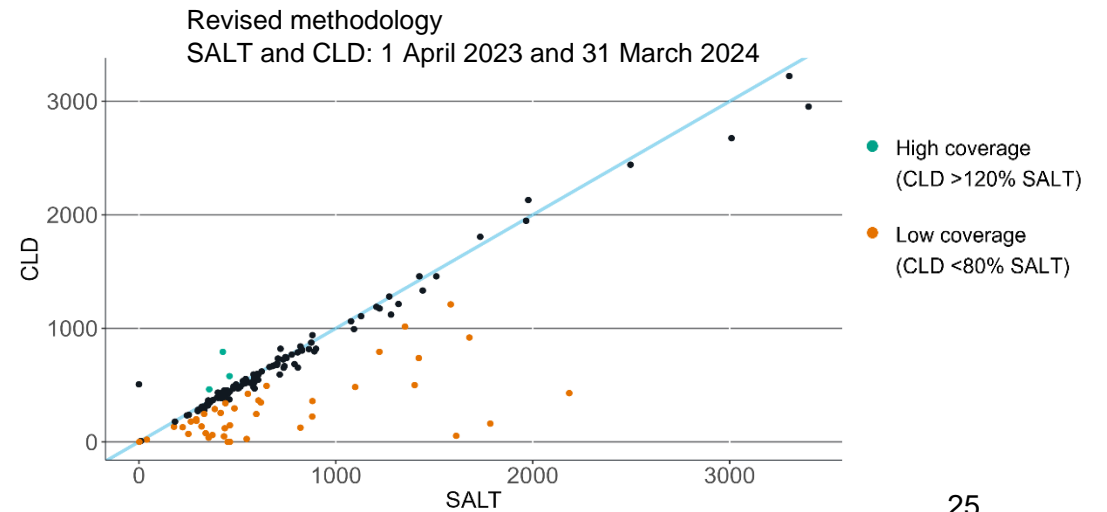
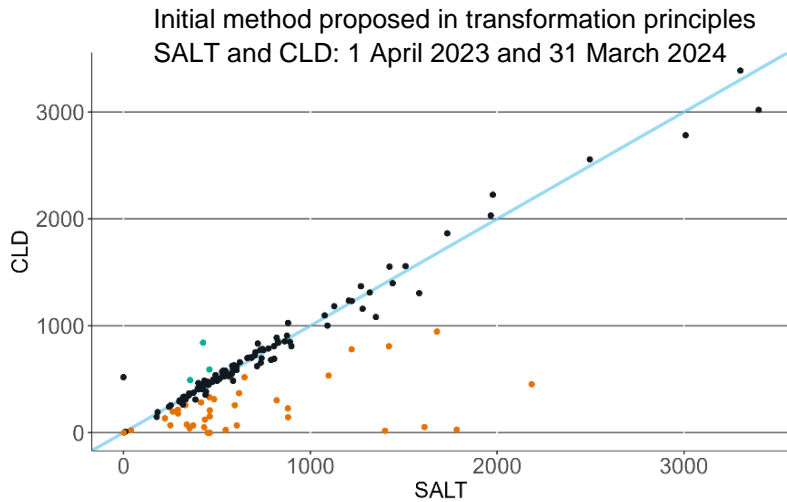


# ASCOF 2E

**Denominator** – The number of people aged 18 to 64 with a learning disability in receipt of long term support.



**Numerator** – The number of people aged 18 to 64 with a learning disability in receipt of long term support who live in their home or with family.



## Appendix 3: Event outcome hierarchy

<b>Event Outcome</b>	<b>Hierarchy</b>
Progress to reablement/ST-Max	1
Progress to assessment	2
Progress to re-assessment / unplanned review	3
Progress to financial assessment	4
Progress to support planning / services	5
No change in package	6
Provision of service	7
Progress to end of life care	8
Admitted to hospital	9
NFA - Moved to another LA	10
NFA - 100% NHS funded care	11
NFA - Self-funded client (inc. 12wk disregard)	12
NFA - Information & advice / signposting only	13
NFA - Support declined	14
NFA - Deceased	15
Service ended as planned	16
NFA - Support ended: other reason	17
NFA - No services offered: other reason	18
NFA- Other	19

## Appendix 4: Deriving sequels to ST-Max for ASCOF 2A

### Sequel type 1: No future events

Where no future events are present, the event outcome of the ST-Max cluster is taken.

1. Using the table of ST-Max events joined to all other events, identify those where no onward activity is present. These are services which don't have any events open on the ST-Max end date or starting after the ST-Max end date\*.
2. Set the outcome for these ST-Max as the event outcome of the clustered service (assigned in section 1). See [appendix 5](#) for the list of outcomes and how they are treated in the final calculation.
3. Store these in a final ASCOF 2A table.

*\*Future development – after feedback from local authorities, we are exploring whether information can be determined from events which occurred during the reablement service, such as equipment installation, or towards the end of the service such as assessments or reviews.*

### Creating a chain of future events

Any activity that was open on the ST-Max end date or started within 3 days of the ST-Max end date is considered 'in scope' and related to the ST-Max service. The first event within this timeframe marks the beginning of a sequel chain. Subsequent events are added to the chain if they start within 3 days or less of the previous event's end date. The chain is broken when an event begins more than 3 days after the end date of the previous event. If another ST-Max event is encountered in the chain of onward events, the chain ends here, they are then flagged and dealt with at end of process.

1. Create 'In\_Chain' flag – identify chains of future events by ordering them chronologically and determining whether the event is within 3 days of the prior event. The first event automatically starts a chain.
2. Create 'Chain\_ID' - each chain of events associated with an ST-Max cluster is assigned a unique ID. This is used to determine when a chain of events breaks.
3. Create 'Initial\_In\_Scope' flag – this determines whether the very first event following the ST-Max is within 3 days of the St-Max end date or open on the end date and therefore in scope.
4. Create 'Chain\_In\_Scope' flag – if the first event is in scope then the 'in scope' flag is applied to subsequent events within the same chain.
5. Create 'ST\_Max\_Sequel' flag – this flags the sequel event if it has service type 'Short Term Support: ST-Max' and is within a chain of events in scope.

6. Create 'Cluster\_ST\_Max\_sequel' flag – this flags the ST-Max cluster, if there is a record with ST\_Max\_Sequel flag = 1.
7. Create final table of ST-Max events and their sequel chains which are in scope, and where another ST-Max event is not encountered. This is done by filtering to Chain\_In\_Scope = 1 and Cluster\_ST\_Max\_Sequel = 0.

Example: in the below scenario, there are three separate chains of events which can be linked together all occurring after the ST-Max event ended. Only the first chain is in scope, as the first event starts within 3 days of the ST-Max ending. However, within this chain there is another ST-Max event, hence the whole ST-Max cluster is flagged as having an ST-Max in its sequel. These types of events are dealt with later on (see 'Sequel Type 5' below) where the event outcome of the ST-Max is used.

ST-Max clusters			Joined to all other events for the same person				Create flags					
ST-Max Cluster ID	Cluster Event Start Date	Cluster Event End Date	Event Type	Service Type	Event Start Date	Event End Date	In chain	Chain ID	Initial event in scope	Chain in scope	ST-Max sequel	Cluster ST-Max sequel
1	01/07/2024	20/08/2024	Assessment		22/08/2024	02/09/2024	1	A	1	1	0	1
1	01/07/2024	20/08/2024	Service	ST-Max	03/09/2024	18/12/2024	1	A	0	1	1	1
1	01/07/2024	20/08/2024	Review		12/12/2024	12/12/2024	1	A	0	1	0	1
1	01/07/2024	20/08/2024	Request		04/02/2025	04/02/2024	0	B	0	0	0	1
1	01/07/2024	20/08/2024	Assessment		06/02/2025	06/02/2025	1	B	0	0	0	1
1	01/07/2024	20/08/2024	Service	LTS	22/02/2025	23/03/2025	0	C	0	0	0	1

### Sequel type 2: Service in sequel chain

Where a service is present in the sequel chain, this is taken as the outcome of the ST-Max.

1. Identify ST-Max services where a service event was encountered in the subsequent chain of events in scope following the ST-Max end.
2. If more than one service is found, the previous SALT hierarchy is applied and the highest ranking service is chosen (see [appendix 6](#) for hierarchy).
3. Set the outcome for these ST-Max as the service type. See [appendix 5](#) for the list of outcomes and how they are treated in the final ASCOF calculation.
4. Add these into the final ASCOF 2A table.

### Sequel type 3: No service but another event contains NFA

Where a non-service event is present in the sequel chain with an event outcome of NFA, this is taken as the outcome of the ST-Max.

1. Identify ST-Max services without a service event in the sequel chain, but at least one request, assessment or review has either an NFA event outcome or an outcome of 'admitted to hospital' or 'progress to end of life care' signalling no further action for the local authority.
2. Set the NFA outcome as the final outcome for the ST-Max. If there are multiple conflicting NFA outcomes in the chain, the outcome is overwritten to 'NFA – Other'.
3. Add these into the final ASCOF 2A table.

#### Sequel type 4: No service and no NFA outcomes

Where there are no service events or NFA outcomes in the sequel chain, defer back to the event outcome of the ST-Max cluster.

1. Identify ST-Max services not dealt with via sequel type 2 (service in sequel) or sequel type 3 (non-service event with NFA outcome).
2. Set the outcome for these ST-Max as the event outcome of the clustered ST-Max service (assigned in section 1). See [appendix 5](#) for the list of outcomes and how they are treated in the final ASCOF calculation.
3. Add these into the final ASCOF 2A table.

#### Sequel type 5: ST-Max chronology not in scope

This step deals with the remaining ST-Max clusters which have future activity but haven't been assigned a sequel because either:

- a) the first sequel event occurred too long after the ST-Max period ended (>3 days) to be considered as related to the ST-Max service.
- b) Another ST-Max event was encountered in the sequel chain of events, which supersedes the original ST-Max period (identified using the flag created earlier in the process).

For these events, defer back to the outcome recorded in the event outcome field of the ST-Max cluster:

1. Identify the remaining ST-Max clusters which are in scope for the metric but have not been assigned a sequel.
2. Set the outcome for these ST-Max as the event outcome of the clustered ST-Max service (assigned in section 1). See [appendix 5](#) for the list of outcomes and how they are treated in the final ASCOF.
3. Add these into the final ASCOF 2A table.

## Appendix 5: ASCOF 2A outcomes

Service Type	Event outcome	Numerator	Denominator
Long Term Support: Nursing Care			✓
Long Term Support: Residential Care			✓
Long Term Support: Community			✓
Long Term Support: Prison			✓
Short Term Support: Ongoing Low Level		✓	✓
Short Term Support: Other Short Term		✓	✓
	NFA - Information and advice/Signposting only	✓	✓
	NFA - Deceased		
	NFA - 100% NHS funded care		
	NFA - Self-funded client (including 12 week disregard)		
	NFA - Support declined		
	Service ended as planned	✓	✓
	NFA - moved to another LA	✓	✓
	NFA - Other	✓	✓
	NFA - No services offered: Other reason	✓	✓
	NFA - Support ended: Other reason	✓	✓
	Admitted to hospital*		
	Progress to end of life care*		
	No change in package*		
	Progress to assessment*		
	Progress to financial assessment*		
	Progress to re-assessment/unplanned review*		
	Progress to reablement/ST-Max*		
	Progress to support planning/services*		
	Provision of service*		
	Any invalid event outcomes		

*\*These outcomes are excluded from the numerator and denominator as it cannot be determined whether further long term support was required or not. Feedback from local authorities is welcome on whether any of these can be included.*

## Appendix 6: Service type and delivery mechanism hierarchy (ASCOF 2A and ASCOF 3D)

Service Type	Delivery mechanism	ASCOF 2A Hierarchy	ASCOF 3D Hierarchy
Long Term Support: Nursing Care		1	1
Long Term Support: Residential Care		2	2
Long Term Support: Community	Direct Payment	3	3
Long Term Support: Community	CASSR Managed Personal Budget	3	4
Long Term Support: Community	CASSR Commissioned Support	3	5
Long Term Support: Community		3	6
Long Term Support: Prison	CASSR Managed Personal Budget	4	7
Long Term Support: Prison	CASSR Commissioned Support	4	8
Long Term Support: Prison		4	9
Short Term Support: Ongoing Low Level		5	NA
Short Term Support: Other Short Term		6	NA

## Appendix 7: Accommodation status mapping

Accommodation Status	Status
Owner occupier or shared ownership scheme	Living in their home or with family
Tenant	
Tenant - private landlord	
Settled mainstream housing with family / friends	
Supported accommodation / supported lodgings / supported group home	
Shared Lives scheme	
Approved premises for offenders released from prison or under probation supervision	
Sheltered housing / extra care housing / other sheltered housing	
Mobile accommodation for Gypsy / Roma and Traveller communities	
Rough sleeper / squatting	
Night shelter / emergency hostel / direct access hostel	
Refuge	
Placed in temporary accommodation by the council (inc. homelessness resettlement)	
Staying with family / friends as a short-term guest	
Acute / long-term healthcare residential facility or hospital	
Registered care home	
Registered nursing home	
Prison / Young offenders institution / detention centre	
Other temporary accommodation	
Unknown	



## Appendix 8: Carer support hierarchy (ASCOF 3D)

Event Type	Service Type	Delivery Mechanism / Service component	Event outcome	Hierarchy
Service	Carer Support: Direct to Carer	Direct payment		1
Service	Carer Support: Direct to Carer	CASSR Managed Personal Budget (and service component is not direct payment)		2
Service	Carer Support: Direct to Carer	CASSR Commissioned Support (and service component is not direct payment)		3
Service	Carer Support: Direct to Carer	Unknown (and service component is not direct payment)		4
Assessment Review Request			'NFA - Information & Advice / Signposting only'	5
Assessment Review			Not 'NFA - Information & Advice / Signposting only'	6
Service	Carer Support: Support involving the person cared-for			6